

# **Schedule 34-11**

## **SECRETARY OF STATE CORPORATION DIVISION**

February 13, 2002

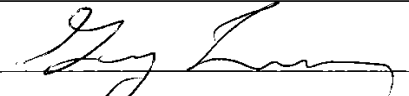
Nebraska Records Management Division  
440 South 8<sup>th</sup> Street, Suite 210  
Lincoln, NE 68508  
(402) 471-2559

**REQUEST FOR APPROVAL OF RECORDS  
RETENTION AND DISPOSITION SCHEDULE**

<b>TO: STATE RECORDS ADMINISTRATOR STATE OF NEBRASKA</b>	SCHEDULE NUMBER <b>34-11</b>
	AGENCY, BOARD OR COMMISSION <b>Secretary of State</b>
	DIVISION, BUREAU OR OTHER UNIT <b>Corporation Division</b>
Supersedes Edition of October 19, 1987	

**PART I – AGENCY STATEMENT**

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE *	
	
TITLE <i>Cheryl D. Smith Sec. of State</i>	DATE <i>1/31/02</i>

**PART II – ARCHIVAL APPROVAL**

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE *	
<i>Andrea I. Faling</i>	
STATE ARCHIVIST	DATE <i>Feb. 5, 2002</i>

**PART III – APPROVAL BY STATE RECORDS ADMINISTRATOR**

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE *	
	
ADMINISTRATOR	DATE <i>2/13/02</i>

RMA 01005D

## **INSTRUCTIONS FOR USING THIS SCHEDULE**

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of agency records, ***regardless of the media on which they reside***, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

### **DISPOSING OF RECORDS**

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

**Please remember to retain the blank form for future use.**

### **NON-SCHEDULED RECORDS**

Contact a Records Management Consultant in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

### **SCHEDULE UPDATE**

It is the responsibility of each agency to periodically update their schedule. A Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that you have the ongoing authority to discard records when their useful life has ended.

### **QUESTIONS**

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division  
440 South 8th Street, Suite 210  
Lincoln, NE 68508-2294  
402-471-2559**

# **INDEX**

## **SCHEDULE 34-11 SECRETARY OF STATE CORPORATION DIVISION**

	<b>Item</b>	<b>Page</b>
APPLICATION FOR CERTIFICATE OF AUTHORITY.....	34-11-2	5
ARTICLES OF INCORPORATION .....	34-11-3	5
ARTICLES OF INCORPORATION FOR AGRICULTURAL ASSOCIATIONS .....	34-11-4	5
CHAINDEX INDEX .....	34-11-5	5
CORPORATION OCCUPATION TAX REPORTS .....	34-11-6	6
CORPORATION TAX LIENS (OBSOLETE) .....	34-11-7	6
CORPORATIONS AND TAX REPORTS DATABASE .....	34-11-19	6
DESIGNATION OF WEED DISTRICTS.....	34-11-8	6
GENERAL INDEX.....	34-11-9	6
INDEX TO DRAINAGE, NOXIOUS WEED AND SOIL AND WATER CONSERVATION DISTRICTS .....	34-11-10	7
INDEX TO NONPROFIT AND NONSTOCK CORPORATIONS AND SANITARY DISTRICTS.....	34-11-11	7
POLITICAL SUBDIVISION FILINGS AND INDEXES .....	34-11-13	7
RECORD OF SANITARY DISTRICTS.....	34-11-14	7
RECORDS DISPOSITION REPORT (BLANK FORM) .....		10
REGISTRATION OF CORPORATE NAME AND INDEXES.....	34-11-15	7
RESERVATION OF CORPORATE NAME AND INDEXES.....	34-11-16	8
SERVICE MARKS, TRADEMARKS, AND TRADE NAME REGISTRATIONS AND INDEXES .....	34-11-17	8

## **SCHEDULE 34-11 – SECRETARY OF STATE – CORPORATION DIVISION**

### **34-11-2 APPLICATION FOR CERTIFICATE OF AUTHORITY**

Applications from foreign corporations to do business in Nebraska upon which appointments of registered agents are designated. Electronic data is in Corporations and Tax Reports Database, Records Retention Schedule Item #34-11-19.

**PAPER COPY: Scan to CD and retain permanently.**

**ELECTRONIC DATA: Backup daily; retain permanently.**

**SECURITY COPY: Retain permanently.**

**CD WORK COPY: Dispose of after 10 years.**

**CD SECURITY COPY: Dispose of after 10 years.**

### **34-11-3 ARTICLES OF INCORPORATION**

ARTICLES OF INCORPORATION filed for domestic, nonprofit and domesticated corporations. Includes ARTICLES OF INCORPORATION, amendments to corporation, and proofs of publication of newly incorporated companies and if applicable, records of dissolution. Includes record of all Articles of Incorporation (except railroads), from 1855--1960. Electronic data is in Corporations and Tax Reports Database, Records Retention Schedule Item #34-11-19.

**PAPER COPY: Scan to CD and retain permanently.**

**ELECTRONIC DATA: Backup daily; retain permanently.**

**SECURITY COPY: Retain permanently.**

**CD WORK COPY: Dispose of after 10 years.**

**CD SECURITY COPY: Dispose of after 10 years.**

### **34-11-4 ARTICLES OF INCORPORATION FOR AGRICULTURAL ASSOCIATIONS**

ARTICLES OF INCORPORATION FOR AGRICULTURAL ASSOCIATIONS which are filed without fee with the Secretary of State. Electronic data is in Corporations and Tax Reports Database, Records Retention Schedule Item #34-11-19.

**PAPER COPY: Scan to CD and retain permanently.**

**ELECTRONIC DATA: Backup daily; retain permanently.**

**SECURITY COPY: Retain permanently.**

**CD WORK COPY: Dispose of after 10 years.**

**CD SECURITY COPY: Dispose of after 10 years.**

### **34-11-5 "CHAINDEX" INDEX**

Alphabetical card index to insurance companies, building and loan associations, banks, nonstock corporations and churches and all corporations that have name, articles or other changes.

**Dispose of after all data has been entered into Corporations and Tax Reports Database, Records Retention Schedule Item #34-11-19.**

**34-11-6 CORPORATION OCCUPATION TAX REPORTS**

Includes foreign, nonprofit and domestic tax reports. Information includes officers of corporations, amount of stock and amount of taxes paid. Electronic data is in Corporations and Tax Reports Database, Records Retention Schedule Item #34-11-19.

**PAPER COPY:** Scan to CD and dispose of after 5 years.

**ELECTRONIC DATA:** Backup daily; dispose of after 5 years.

**SECURITY COPY:** Dispose of after 5 years.

**CD WORK COPY:** Dispose of after 5 years.

**CD SECURITY COPY:** Dispose of after 5 years.

**34-11-7 CORPORATION TAX LIENS (OBSOLETE 1985)**

Records of liens against corporations. Liens for dissolved corporations are no longer received, but the information is retained permanently in electronic form in Corporations and Tax Reports Database, Records Retention Schedule Item #34-11-19.

**ELECTRONIC DATA:** Backup daily; retain permanently.

**SECURITY COPY:** Retain permanently.

**34-11-19 CORPORATIONS AND TAX REPORTS DATABASE**

Information for all corporations and tax reports. May include Applications for Certificate of Authority, Articles of Incorporation, and Articles of Incorporation for Agricultural Associations, Corporation Occupation Tax Reports, Corporation Tax Liens, General Index, Registrations of Corporate Names and Indexes, Reservations of Corporate Names and Indexes, Service Marks, Trademarks and Trade Name Registrations and Indexes.

**ELECTRONIC DATA:** Backup daily; retain permanently.

**SECURITY COPY:** Retain permanently.

**34-11-8 DESIGNATIONS OF WEED DISTRICTS**

Orders of Board of County Commissioners creating districts for the eradication of noxious weeds.

Referenced in Chainindex Index. Not in use.

**Retain permanently.**

**34-11-9 GENERAL INDEX**

Alphabetical card index to all domestic, foreign, nonprofit, and professional corporations as well as public power districts, railroads and constitutions of organizations. Electronic data is in Corporations and Tax Reports Database, Records Retention Schedule Item #34-11-19.

**PAPER INDEX CARDS:** Scan to CD and dispose of after all data has been entered into the Corporations and Tax Reports Database, Records Retention Schedule Item #34-11-19.

**ELECTRONIC DATA:** Backup daily; retain permanently.

**SECURITY COPY:** Retain permanently.

**CD WORK COPY:** Dispose of after 10 years.

**CD SECURITY COPY:** Dispose of after 10 years.

**34-11-10 INDEX TO DRAINAGE, NOXIOUS WEED AND SOIL AND WATER CONSERVATION DISTRICTS**

Alphabetical card index to these political subdivisions. Referenced in Chainindex Index, Record Retention Schedule Item #34-11-5.

**Retain permanently.**

**34-11-11 INDEX TO NONPROFIT AND NONSTOCK CORPORATIONS AND SANITARY DISTRICTS**

Book-form index initiated in 1960. Referenced in Chainindex Index, Record Retention Schedule Item #34-11-5.

**Retain permanently.**

**34-11-13 POLITICAL SUBDIVISION FILINGS AND INDEXES**

Includes various filings pertaining to the organization of Soil and Water Conservation Districts (defunct), Sanitary and Improvement Districts, Noxious Weed Districts and Drainage Districts. Referenced in Chainindex Index, Record Retention Schedule Item #34-11-5.

**Retain permanently.**

**34-11-14 RECORD OF SANITARY DISTRICTS**

Includes copies of transcripts of proceedings for the organization of sanitary and improvement districts. Referenced in Chainindex Index, Record Retention Schedule Item #34-11-5.

**Retain permanently.**

**34-11-15 REGISTRATION OF CORPORATE NAME AND INDEXES**

Record of registration of name of applicant for corporate status. Registration is valid until the end of the year in which it was issued. Electronic data is in Corporations and Tax Reports Database, Records Retention Schedule Item #34-11-19.

**PAPER COPY: Scan to CD and retain permanently.**

**ELECTRONIC DATA: Backup daily; dispose of 1 year after expiration.**

**SECURITY COPY: Dispose of 1 year after expiration.**

**CD WORK COPY: Dispose of 1 year after expiration.**

**CD SECURITY COPY: Dispose of 1 year after expiration.**

**34-11-16 RESERVATION OF CORPORATE NAME AND INDEXES**

Record of reservation of corporate name for party intending to incorporate. The reservation is valid for 120 days. Electronic data is in Corporations and Tax Reports Database, Records Retention Schedule Item #34-11-19.

**PAPER COPY: Scan to CD and retain permanently.**

**ELECTRONIC DATA: Backup daily; dispose of 1 year after expiration.**

**SECURITY COPY: Dispose of 1 year after expiration.**

**CD WORK COPY: Dispose of 1 year after expiration.**

**CD SECURITY COPY: Dispose of 1 year after expiration.**

**34-11-17 SERVICE MARK, TRADEMARK AND TRADE NAME  
REGISTRATIONS AND INDEXES**

SERVICE MARK: Record of signs used to distinguish between persons offering services. Service marks must be renewed every 10 years. TRADEMARK: Records of registered trademarks. Trademarks must be renewed after 10 years. TRADE NAME: Record of registration of trade names. Registration is valid for a 10 year period. Electronic data is in Corporations and Tax Reports Database, Records Retention Schedule Item #34-11-19.

**PAPER COPY: Scan to CD and retain permanently.**

**ELECTRONIC DATA: Backup daily; retain permanently.**

**SECURITY BACKUP: Retain permanently.**

**CD WORK COPY: Dispose of after 10 years.**

**CD SECURITY COPY: Dispose of after 10 years.**

---

**NOTE**

*1. These records may be disposed of after the required retention period provided the audit of the Comprehensive Annual Financial Report (CAFR) is complete and any required federal audit is complete, and all related audit comments have been resolved. Check with the organization that performed the audit, either the Auditor of Public Accounts or the federal cognizant agency, if there is a question whether resolution is complete.*



## RECORDS DISPOSITION REPORT

<b>TO: SECRETARY OF STATE</b> <b>RECORDS MANAGEMENT DIVISION</b> <b>440 S. 8<sup>TH</sup> STREET SUITE 210</b> <b>LINCOLN, NE 68508-2294</b>	AGENCY
	DIVISION
	SUB-DIVISION

### REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

### OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

--

DATE	SIGNATURE
------	-----------

**SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.**

RMA 03006D

## **VOLUME ESTIMATING GUIDE**

**(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK  
ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS  
ADEQUATE.)**

Vertical File Cabinet, 4 drawer letter-size .....	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size .....	9 cubic feet
Lateral File, 4 drawer/shelf legal-size.....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load.....	50 cubic feet